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UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

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UNITED STATES OF AMERICA : SUPERSEDING INFORMATION

-v.- : S4 13 Cr. 410 (NRB)

ALEX PUZAITZER, :

Defendant. :

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COUNT ONE

(Conspiracy to Commit Securities Fraud)

The United States Attorney charges:

1. From at least in or about 1999, up to and including on or about March 27, 2013, in the Southern District of New York and elsewhere, ALEX PUZAITZER, the defendant, and others known and unknown, willfully and knowingly did combine, conspire, confederate, and agree together and with each other to commit offenses against the United States, to wit, securities fraud in violation of Title 15, United States Code, Sections 78j(b) and 78ff, and Title 17, Code of Federal Regulations, Section 240.10b-5.

2. It was a part and an object of the conspiracy that ALEX PUZAITZER, the defendant, and others known and unknown, willfully and knowingly, directly and indirectly, by the use of means and instrumentalities of interstate commerce, and of the mails, and of facilities of national securities exchanges, would and did use

and employ, in connection with the purchase and sale of securities, manipulative and deceptive devices and contrivances in contravention of Title 17, Code of Federal Regulations, Sections 240.10b-5, by: (a) employing devices, schemes and artifices to defraud; (b) making untrue statements of material fact and omitting to state material facts necessary in order to make the statements made, in the light of the circumstances under which they were made, not misleading; and (c) engaging in acts, practices and courses of business which operated and would operate as a fraud and deceit upon purchasers and sellers, all in violation of Title 15, United States Code, Sections 78j(b) and 78ff, and Title 17, Code of Federal Regulations, Section 240.10b-5.

Overt Act

3. In furtherance of the conspiracy and to effect the illegal object thereof, ALEX PUZAITZER, the defendant, and others known and unknown, committed the following overt act, among others, in the Southern District of New York and elsewhere:

a. On or about February 26, 2013, ALEX PUZAITZER, the defendant, received a call from a co-conspirator not named as a

defendant herein ("CC-1"), during which they discussed an unlawful market manipulation scheme.

(Title 18, United States Code, Section 371.)

COUNT TWO

(Conspiracy to Commit Extortion)

The United States Attorney further charges:

4. From at least in or about February 2012, up to and including on or about March 27, 2013, in the Southern District of New York and elsewhere, ALEX PUZAITZER, the defendant, and others known and unknown, willfully and knowingly combined, conspired, confederated, and agreed together and with each other to commit extortion, as that term is defined in Title 18, United States Code, Section 1951(b)(2), by obtaining money and property from and with the consent of another person, to wit, a co-conspirator in the crime charged in Count One of this Information, not named as a defendant herein ("CC-2"), which consent would have been and was induced by the wrongful use of actual and threatened force, violence, and fear, and thereby would and did obstruct, delay, and affect commerce and the movement of articles and commodities in commerce, as that term is defined in Title 18, United States Code, Section 1951(b)(3), to wit, PUZAITZER and others attempted to

collect money and shares of publicly traded stock from CC-2 through the threat of force.

(Title 18, United States Code, Section 1951.)

COUNT THREE

(Unlawful Possession of a Firearm by a Convicted Felon)

The United States Attorney further charges:

5. On or about April 4, 2013, in the Eastern District of New York, ALEX PUZAITZER, the defendant, having been convicted in a court of a crime punishable by imprisonment for a term exceeding one year, knowingly and willfully possessed in and affecting commerce a firearm, to wit, a .25 caliber Raven Model P-25 semi-automatic pistol, which had been shipped and transported in interstate commerce.

(Title 18, United States Code, Section 922(g)(1).)

FORFEITURE ALLEGATION

6. As the result of committing the conspiracy to commit securities fraud offense alleged in Count One of this Superseding Information, ALEX PUZAITZER, the defendant, shall forfeit to the United States, pursuant to 18 U.S.C. § 981(a)(1)(C) and 28 U.S.C § 2461, all property, real and personal, that constitutes or is derived, directly and indirectly, from gross proceeds traceable to the commission of said offense.

Substitute Asset Provision

7. If any of the above-described forfeitable property, as a result of any act or omission of the defendant:

(a) cannot be located upon the exercise of due diligence;

(b) has been transferred or sold to, or deposited with, a third person;

(c) has been placed beyond the jurisdiction of the Court;

(d) has been substantially diminished in value; or

(e) has been commingled with other property which cannot be subdivided without difficulty;

it is the intent of the United States, pursuant to Title 21, United States Code, Section 853(p), to seek forfeiture of any other property of said defendant up to the value of the above forfeitable property.

(Title 18, United States Code, Section 981, and Title 28, United States Code, Section 2461.)

A handwritten signature in black ink, appearing to read 'Preet Bharara', is written over a horizontal line.

PREET BHARARA
United States Attorney

Form No. USA-33s-274 (Ed. 9-25-58)

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(18 U.S.C. §§ 371, 1951 and 922(g)(1)).

PREET BHARARA
United States Attorney.
